Background and Purpose of the Following Draft Directive and Standard (D&S)

The goals of preparing this new D&S document and providing stakeholders with the opportunity to comment on it in draft form are to provide a defined approach for integrating key decision and performance milestones into information technology (IT) investment life cycle management. The benefit of the decision milestones for IT investment projects will be improved IT investment management and oversight practices within Reclamation.

The Reclamation Manual is used to clarify program responsibility and authority and to document Reclamation-wide methods of doing business. All requirements in the Reclamation Manual are mandatory for Reclamation.

See the following pages for the draft D&S.

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Subject:	Decision Milestones for Information Technology (IT) Investment Projects
Purpose:	The Directive and Standard (D&S) provides a defined approach for integrating key decision and performance milestones into IT investment lifecycle management. The benefit will be improved IT investment management and oversight practices within the Bureau of Reclamation.
Authority:	Clinger-Cohen Act of 1996 (*Information Technology Management Reform Act and National Defense Authorization Act of Fiscal Year 1996*); E-Government Act of 2002, Public Law 107-347; Office of Management and Budget (OMB) Circular A-130, *Management of Federal Information Resources*; OMB Circular A-11, *Preparation, Submission and Execution of the Budget*; OMB Memorandum M-10-27, June 28, 2010, *Information Technology Investment Baseline Management Policy*; Office of the Secretary Order 3244 – *Standardization of Information Technology Functions and Establishment of Funding Authorities*; Department of the Interior Departmental Manual, part 375 Chapter 7 and Part 376 Chapter 4; Department Office of the Chief Information Officer (OCIO) Directive 2005-002*, Information Technology Capital Planning and Investment Control (Department IT CPIC) Guide Version 2.0;* Department OCIO Directive 2007-009, *Integrated Baseline Policy;* and FAR Subpart 34.202 *Integrated Baseline Review*
Approving Official:	Chief Information Officer (CIO), 84-21000
Contact:	IT Policy and Security Division, 84-21200

1. **Introduction.** Reclamation manages a wide array of IT investments to supporting mission- and business-related goals, programs, operations, and regulatory requirements. These investments are made up of various systems and components and may include new IT acquisitions or projects automating business processes, developing new databases, enhancing security capabilities, or modernizing communications capabilities. A significant challenge for executives, managers, and governance councils is effectively monitoring the status of and risks associated with IT investments. Establishing common investment decision milestones will enable Reclamation to better demonstrate efficiency, transparency, and accountability in management of IT.

2. **Applicability.** This D&S applies to all Reclamation IT Investments.

3. **Definitions.**

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A. **Decision Gates**. Defined control points for assessing the status of IT projects and making decisions relative to future activities of IT investments and projects. A decision gate is used to determine if the products for the current phase of work are completed, based on the criteria set out at the beginning of the project. Executive sponsors, governance councils, and the CIO are responsible for rendering these decisions after carefully examining key investment or project management artifacts. The decision reached at a decision gate is a formal written document and may be to approve the project to move forward to the next phase, conditionally move forward, or suspend or reject the IT proposal.

B. **Integrated Baseline Review (IBR).** A joint review assessment by the contractor, and the Government, to assess the:

   (1)   Ability of the project's technical plan to achieve the objectives of the scope of work;

   (2)   Adequacy of the time allocated for performing the defined tasks to successfully achieve the project schedule objectives;

   (3)   Ability of the Performance Measurement Baseline to successfully execute the project and attain cost objectives, recognizing the relationship between budget resources, funding, schedule, and scope of work;

   (4)   Availability of personnel, facilities, and equipment when required to perform the defined tasks needed to execute the program successfully; and

   (5)   The degree to which the management process provides effective and integrated technical, schedule, cost planning, and baseline control.

C. **IT Investment**. An organizational investment employing or producing IT or IT-related assets. IT investments may be comprised of multiple systems or components including new projects or initiatives as well as contracts established to support components or projects within the investment. Each component or project will incur costs, has expected or realized benefits, has a schedule of activities, and has or will incur risks associated with the investment. OMB Circular A-11 identifies two types of IT investments- major and non-major.

D. **IT Investment Lifecycle Management**. An approach to managing the flow of the span from acquisition/development of an IT investment to final disposition.

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E. **IT Project Manager (PM)**. The primary person responsible for planning and managing the IT project and ensuring that project costs, schedule, and performance requirements are addressed. IT PMs are required to complete compulsory Department of the Interior training and must attain Project Management Professional status through the Project Management Institute if assigned to a major IT investment with significant development, modernization or enhancements underway or a new major IT project.

F. **Lifecycle Phase**. A distinct portion of the lifecycle of an IT investment and/or project delineated by sequential milestone decision gates (including, but not limited to, feasibility (concept development), planning, design, IBR, development, implementation, deployment, post-implementation review (PIR), operational readiness (operations and maintenance), and termination/significant change or modernization.)

G. **Major IT Investment.** An IT investment, system, or acquisition requiring special management attention because of its importance to the mission or function of the agency, a component of the agency or another organization; is for financial management and obligates more than $500,000 annually; has significant program or policy implications; has high executive visibility; has high development, operating, or maintenance costs; is funded through other than direct appropriations; or is defined as major by the agency's capital planning and investment control process. OMB may work with the agency to declare other investments as major investments.

H. **Non-Major IT Investment.** An IT investment that is not considered to be a "major" IT Investment is a "non-major" IT Investment.

I. **Post Implementation Review (PIR).** An assessment of the investment's costs, performance, benefits, documentation, mission, and level of stakeholder and customer satisfaction conducted after the investment has been implemented. There are three purposes for a PIR:

 (1) Ascertain the degree of success from the project, in particular, the extent to which it met its objectives, delivered planned levels of benefit, and addressed the specific requirements as originally defined;

 (2) Examine the efficacy of all elements of the business solution to see if further improvements are needed to meet specific requirements as originally designed; and,

 (3) Learn lessons from this project, lessons which can be used by the team members and by the organization to improve future project work and solutions.

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J. **Project Management Artifact**. Document that demonstrates execution of key project management planning, design, development, deployment or implementation, and de-commissioning or termination activities.

K. **Project Milestones.** Critical points monitored throughout the lifecycle of a project. Milestones highlight important interim events, such as the completion of a work package marked by a high level event such as completion, endorsement, or signing of a deliverable project and management artifacts. There may be multiple project milestones during a lifecycle phase.

4. **Responsibilities.**

A. **Chief Information Officer (CIO).** Approves, directs, manages, evaluates, and monitors Reclamation's IT portfolio. The CIO insures that all individual IT investments are planned, acquired, developed, deployed or implemented, operated, maintained, and terminated within an integrated framework that addresses enterprise architecture, capital planning and investment control, security, acquisition, risk management, operational, and other requirements related to Reclamation's IT Program and mission objectives as well as standards mandated by the OMB and the Department. The CIO is responsible for X300s and Reclamation's Exhibit 53 (X53) submission to the Department and OMB.

B. **Chief Information Officer's Council (CIOC).** This advisory council evaluates, assesses, reviews, and makes recommendations to the CIO on Reclamation's IT portfolio. The CIOC provides advice on the relative mission and business value and risks associated with IT investments, which may result in the funding, suspension, or termination of IT investments or projects.

C. **Directors**. Serve as Executive Sponsors for IT investments and are responsible for ensuring IT investments align with and support mission and business requirements; providing resources (staff, equipment, and funds) to support IT investments; ensuring investments are managed in an efficient manner; ensuring new investments or projects comply with project management principles and practices; and managing investment or project risks – which may include rendering decisions to replace ineffective project teams, suspending or terminating poor IT investments, modifying, or changing the project scope to ensure successful completion of the project or to meet user requirements or comply with new regulatory requirements.

D. **Managers.** Manage the day-to-day activities of IT investments or projects and may serve as Business Sponsor or Functional Sponsor for the IT investment. In this role, managers have the authority to ensure that IT investments and documents are

completed and maintained in accordance with applicable OMB, Department, and Reclamation requirements, and to address IT investment management, resource (staffing and funding), and oversight issues.

E. **Investment Review Board**. The Department established an IT Investment Review Board to evaluate and render annual funding recommendations on all IT major and non-major investments organization-wide. This board is required by the Clinger-Cohen Act and Reclamation's major and non-major investments are reviewed by this Board – as deemed appropriate.

F. **IT Project Manager.** The IT PM **e**nsures successful management and execution of the project. IT PMs will complete all assigned IT project management and investment documents – including the X300 and business decision documents (BDDs) – and will coordinate project requirements and status information with key stakeholders, senior executives, and governance councils. IT PMs are responsible for providing investment, records of decision, and progress or performance documents to appropriate governance councils.

G. **Capital Planners.** Provide guidance to IT PMs responsible for investment documents and insure that the X300s, X53, and BDDs are prepared and completed in accordance with applicable requirements. Also, Capital Planners facilitate the CIOC's review, analysis and reporting recommendations for IT investments and investment documents as part of the IT portfolio management process.

5. **Goals and Objectives.** The goals and objectives of this D&S are to:

A. Ensure that Reclamation's IT investments support the accomplishment of mission goals and objectives as well as the execution of required Federal programs and functions in an effective and efficient manner;

B. Establish designated milestones and decision gates to monitor the progress of IT investments and projects to support Reclamation management in making better informed decisions related to IT investments;

C. Promote accountability and responsibility for IT investments and projects through the adoption of formal decision gates and milestones; and,

D. Establish consistent tracking and evaluation of IT investment and project performance to ensure organizational goals and objectives are accomplished.

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6. **Requirements**.

   A. **General.** Use of defined milestones and decision gates to assess the status of IT investments will establish a common uniform process to evaluate the status of IT investments from inception to termination. This process will ensure that executive sponsors, business/function sponsors, the CIO, key stakeholders, governance councils, as well as project team members, are kept apprised of the status of and are held accountable for the success of an IT investment or project. The process will help assure that the IT investment or project addresses Reclamation mission or business goals and objectives and is managed in accordance with sound project management principles and practices that assure effective and efficient use of resources and management of project risks.

   B. **Phases.**

      (1) The Reclamation IT investment management lifecycle is comprised of nine phases and decision gates. Each phase is followed by a decision gate documenting the completion of that phase and detailing decisions by Reclamation management for future actions. The phases and decision gates provide a defined process for completing critical investment and project management tasks while continually assessing:

         (a) benefits of the investment or project,

         (b) risks associated with the investment,

         (c) execution of the investment or project,

         (d) technology associated with the investment or project,

         (e) costs for the investment or project, and

         (f) collaborative nature or enterprise value of the investment.

      (2) All IT investments or projects must address the nine phases and decision gates as part of project management. The scope, complexity, and visibility of the IT investment/project determines the extent to which requirements associated with the nine phases and decision gates will be applied. All enterprise-wide, working capital funded, and multi-organization (two or more regions and/or directorates) funded or utilized IT investments or projects must be reviewed by Reclamation's CIOC during the budget cycle and throughout the nine phases.

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C.   **Decision Gates.** Decision gates formally conclude and accept the products for a particular phase of the project. Each phase has a major decision gate. There may be several project milestones that occur within phases of the project life cycle. Decision gates are used to evaluate work accomplished during the current phase of development and to determine if the project is ready to start the next phase of development. The process includes decision control points for the CIO, along with executive sponsors or directors, to approve, conditionally approve, suspend or terminate the IT investment or project throughout the nine lifecycle phases. The following activities must be performed in advance of a decision gate:

   (1)   Plan how a decision gate is to be conducted,

   (2)   Identify the participants including their roles and responsibilities,

   (3)   Define the entrance criteria (what needs to happen before a decision gate review takes place), and

   (4)   Define the exit criteria (what conditions must be met before the next phase or step begins).

D.   **Project Milestones.** A project milestone signals completion of a phase and may signify a time frame to make important decisions on the cost, schedule, or performance (scope) of the project as well as deliverables. Missed milestones may indicate that design requirements were not adequate or that site-specific requirements were greater than expected.

   (1)   Key project-specific milestones must be approved by the PM, executive sponsor, business or functional sponsor, and other key stakeholders, as deemed appropriate,

   (2)   Milestones must be addressed in project management and subsidiary plans and monitored by the PM, executive sponsor, and business or functional sponsor throughout the investment or project, and

   (3)   For major and non-major IT investments or projects, milestones may be reviewed by the CIOC, CIO, the Department, and OMB. Reviews will be dependent on the complexity, visibility, and scale of the IT project and performance reports.

E.   **Reporting Project Performance Results and Decisions.**

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(1)   PMs are required to provide the CIOC and CIO with periodic reports on the status of the nine project phases and decision, as described in this D&S. This information will be monitored by the CIOC and CIO for IT investments or projects that are categorized as major, non-major, or support multiple Reclamation organizations and/or require working capital funds from more than one organization within Reclamation.

(2)   Records of Decision will be required at the conclusion of each milestone to ensure that project management documentation requirements, critical cost, schedule, performance, and other risks associated with the project have been addressed; and to ensure that appropriate project officials are involved in each milestone process. Templates will be provided by the CIO and must be used to document milestones for all IT investments and other significant cross-organizational or working capital funded IT projects sponsored by Reclamation.

(3)   Project-specific milestones will be required for all IT investments to ensure project progress and risks are monitored. IT PMs, executive sponsors, and business or functional sponsors are responsible for defining and identifying these milestones and developing project-specific reports to track and monitor project performance and decisions related to such milestones.

(4)   All enterprise-wide, working capital funded, and multi-organization (two or more regions and/or directorates) funded or utilized IT investments or projects must be reviewed by Reclamation's CIOC during the budget cycle and throughout the nine phases. The process includes decision control points for the CIO, along with executive sponsors or directors, to approve, conditionally approve, suspend or terminate the IT investment or project throughout the nine lifecycle phases.

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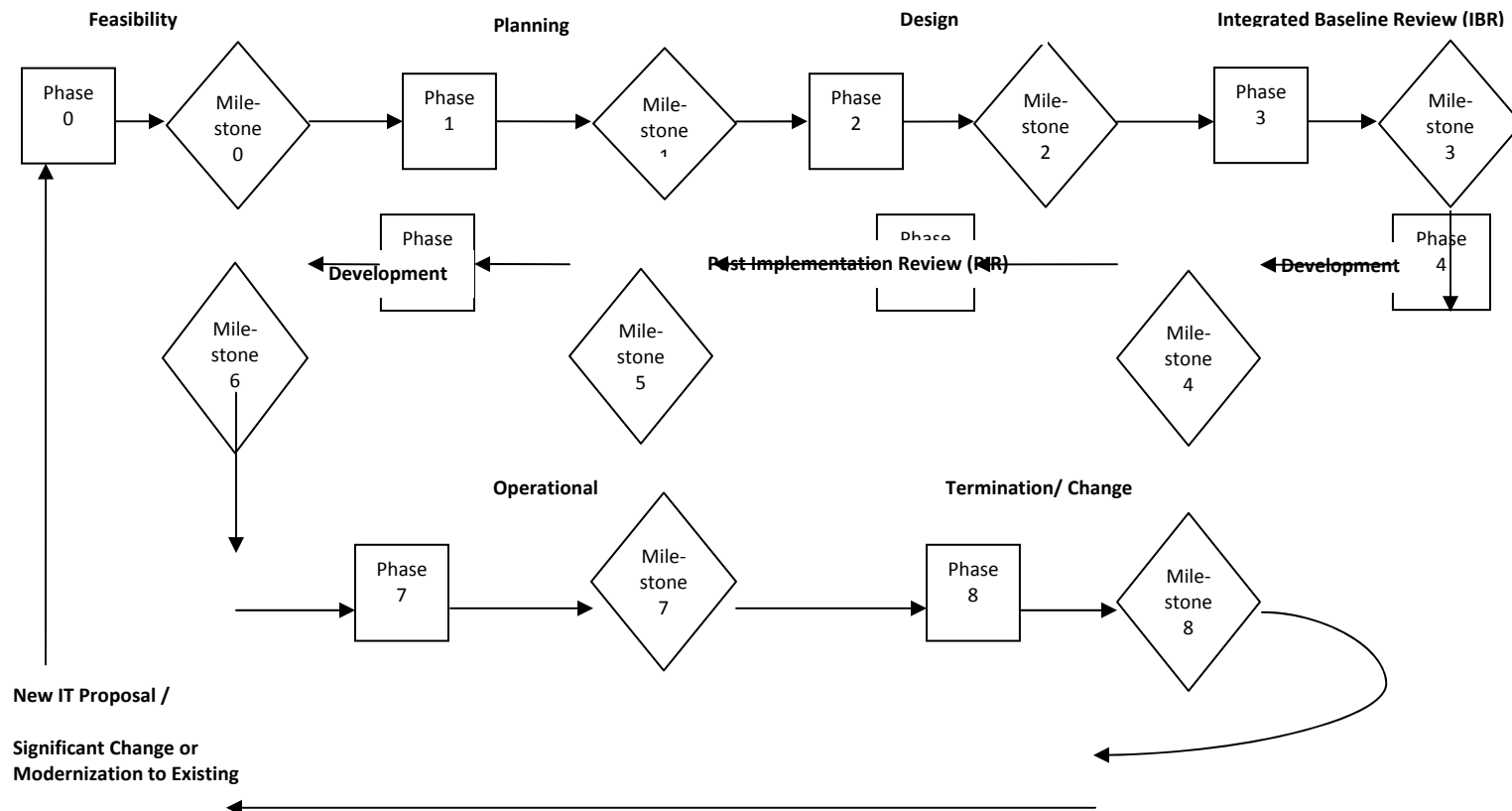
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Appendix A: Table of IT Investment Lifecycle Phases and Milestones, Purposes, Key Activities, and Record and Decision Requirements

Figure: Key Phases and Milestones for IT Investments/Projects

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Appendix B – Project/Investment Phases

Phase	Phase Goal	Key Activities	Key Artifacts	Required Approvals
0 *Feasibility*	Obtain authority for the IT project or proposal, including sponsorship, initial funding, and resources	° Conduct research ° Conduct business process analysis defining business practices ° Complete preliminary technical and/or market research ° Assess alternatives (at least 3 options) ° Establish high-level parameters for business concept or proposal ° Explore value and cost of concept or proposal ° Identify any constraints ° Obtain information supporting the concept and/or proposal	° Customer Mission Needs Statement ° Exhibit 300 Considerations ° Preliminary Project Charter ° Preliminary Project Scope ° Preliminary Project Management Plan ° Preliminary Concept of Operation ° Preliminary Requirements Definition (initial baseline) ° Preliminary Trade Studies / Feasibility Studies / Results Capture ° Preliminary Alternative Solution Analysis / Results ° Preliminary Cost Estimations ° Preliminary Schedule Estimates ° Preliminary Performance Definition ° Preliminary Risk Identification / Mitigation Approach ° Business Decision Document(s) ° Project Decision Document (s) ° Preliminary Acquisition Requirements ° Record(s) of Decision/Recommendation ° Lessons Learned ° Independent Cost Estimate	° PM ° Business Sponsor ° Executive Sponsor ° CIO ° CIOC (*for Multiple Regions /Directorates*) ° DOI Investment Review Board

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Phase	Phase Goal	Key Activities	Key Artifacts	Required Approvals

1
 	
Planning
	° Ensure appropriate project management planning is completed and supports efficient and effective design, development, deployment and operation of the IT system	° Complete the alternative solutions analysis
		° Refine the project scope
		° Define detailed baselines for cost and schedule
		° Develop management plans
			° Mission Needs Statement
			° Preliminary Exhibit 300
			° Draft Project Charter
			° Project Scope
			  - Activity Sequence Analysis / Network Diagram (phased approach)
			° Draft Concept of Operation
			° Draft Requirements Baseline
			° Alternative Solution Analysis
			° Draft Project Cost Estimation Baseline
			° Draft Project Schedule (Integrated)
			° Draft Work Breakdown Structure (WBS)
			° Draft Test Plan
			° Draft Project Management Plan
			  - Integrated Management Approach / Controls
			° Identified Performance Measures
			° Record (s) of Decision
				° PM
				° Business Sponsor
				° Executive Sponsor
				° CIO
				° CIOC (*for Multiple Regions /Directorates*)
				° DOI Investment Review Board

2
 	
Design
	° Reach agreement on concept of operations for proposed system
	° Validate support for the concept of operations and system design
	° Ensure proposed design meets mission and business requirements
		° Examine of the IT proposal and assessment of the artifacts associated with the proposed technical design of the system
		° Assess the maturity and relative risks associated with the design of the system
		° Assure that project tasks can be objectively measured as well as
			° Solution Architecture / Project Design
			° Initial Development / Pilot
			° Update
			  - Mission Needs Statement
			  - Exhibit 300
			  - Project Charter
			  - Project Scope
			  - Concept of Operation
				° PM
				° Business Sponsor
				° Executive Sponsor
				° CIO
				° CIOC (*for Multiple Regions /Directorates*)
				° Enterprise Architecture

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Phase	Phase Goal	Key Activities	Key Artifacts	Required Approvals
	° Ensure resources will be provided to support the development	completed to the successful execution of the project - as designed ° Identify and address technical and design-related risks that may adversely impact development, testing, implementation, and operation	- Requirements Baseline - Project Cost Estimation - Work Breakdown Structure - Project Schedule - Test Plan - Project Management Plan - Performance Metrics Results - Scope Management Plan - Schedule Management Plan - Cost (Budget) Management Plan - Earned Value Management Plan (EVMS) - Quality Management Plan - Configuration Management Plan - Staffing (HR) Management Plan - Communications Management Plan - Risk Management Plan - Procurement (and Contract) Management Plan - Performance Metrics Results - Records-of-Decision	
3 **Integrated Baseline Review**	° Ensure project management planning and system design work has been completed, project baselines (cost, schedule and performance) are reasonable, acquisition	° Examine the IT proposal ° Assess the investment artifacts ° Review planning and design artifacts and baselines, integration approach, background information, performance metrics	° Planning & Design Artifacts / Baselines - *See Planning / Design Review Artifacts above* ° Overall Integration Approach ° Background Information	**Major IT Investments** ° PM ° Business Sponsor ° Executive Sponsor, ° CIO

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	or procurement strategies can be executed, and project risks are managed	results, records of decision, CIOC monthly reports, and quarterly reports (for Major IT Investments) ° Evaluate Project Management Process areas to assess the maturity and relative risk of processes and procedures ° Review base-lining process, revision control procedure, quality assurance, subcontractor management, and earned value management processes	° Performance Metrics Results ° Records-of-Decision	° CIOC (*for Multiple Regions /Directorates*) **Non-Major IT Investments, Small-Scale IT Projects, and Reclamation Cross-Organizational/Cross-Funded Investments requiring Working Capital Funds** ° PM ° Business Sponsor ° Executive Sponsor ° CIO ° CIOC (*for Multiple Regions /Directorates*)

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Phase	Phase Goal	Key Activities	Key Artifacts	Required Approvals
4 **Development**	° Ensure deliverables and/or components are completed – as designed – and project changes and risks are managed in a timely and cost effective manner	° Assure project tasks, as defined in project management plans and the work breakdown structure, are completed in a timely manner ° Manage contractors or vendors to assure that schedules are maintained deliverables are completed based on technical, quality, and all performance standards ° Assure project budgets are maintained, project risks are promptly mitigated or addressed; ° Keep executives , governance councils, and key stakeholders apprised of all project issues and risks including deliverables progress and the change control process ° Maintain and manage project scope and changes ° Update appropriate artifacts	° Refined: - Mission Needs Statement - Exhibit 300 - Project Development Plan - Project Charter - Project Scope - Concept of Operation - Requirements Baseline - Solution - Project Cost Estimation - Work Breakdown Structure - Project Schedule - Test Plan (includes Integration Testing) - Project Management Plan - Performance Metrics - Scope Management Plan - Schedule Management Plan - Cost (Budget) Management Plan - EVMS - Quality Management Plan - Configuration Management Plan - Staffing (HR) Management Plan - Communications Management Plan - Risk Management Plan - Procurement (and Contract) Management Plan	° PM ° Business Sponsor ° Executive Sponsor ° CIO ° CIOC (*for Multiple Regions /Directorates*)

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Phase	Phase Goal	Key Activities	Key Artifacts	Required Approvals

5
 	
Deployment
	° Accept the system into production and the operational environment
	° Ensure the operations and maintenance costs have been established and baselines for out-year management are accurate and updated
		° Ensure that the system is installed as planned and specified
		° Train users
		° Prepare end users and supporting organizations to accept the system
		° Ensure that deliverables and/or components of the system have been fully tested to support user and operational environment requirements.
		° Ensure deployed components are managed through a defined configuration management process and upgraded or modernized based on a lifecycle or refresh strategy plan for the entire system
		° Ensure the operations and maintenance costs have been established for the system and baselines for out-year management of the system are accurate
			° Verification and Validation Plan
			° Change Control Plan
			° End User Testing Plan
			° Lessons Learned
			° Finalize for Legacy Maintenance:
			  - Project Development Plan
			  - Project Charter
			  - Project Scope
			  - Concept of Operation
			  - Requirements Baseline
			  - Solution
			  - Project Cost Estimation
			  - Work Breakdown Structure
			  - Project Schedule
			  - Test Plan (includes End User Testing)
			  - Performance Metrics
			  - Project Management Plan
			  - Scope Management Plan
			  - Schedule Management Plan
			  - Cost (Budget) Management Plan
			  - EVMS
			  - Quality Management Plan
			  - Configuration Management Plan
			  - Staffing (HR) Management Plan
			  - Communications Management Plan
			  - Risk Management Plan
			  - Procurement (and Contract) Management Plan
				° **Major IT Investments** PM
				° Business Sponsor
				° Executive Sponsor
				° CIO
				° CIOC (*for Multiple Regions /Directorates*)
				° DOI Investment Review Board
				
				Non-Major IT Investments, Small-Scale IT Projects, and Reclamation Cross-Organizational/Cross-Funded Investments requiring Working Capital Funds
				
				° PM
				° Business Sponsor
				° Executive Sponsor
				° CIO
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Phase	Phase Goal	Key Activities	Key Artifacts	Required Approvals

6
 	
Post Implementation Review
	° Validate that the IT investment or project accomplished intended objectives
	° Address weaknesses identified in IT project or investment management practices
		° Evaluated the project to ensure:
		  - status of all project plans and modifications were executed completely and properly
		  - the investment achieves the intended business effectiveness and operational efficiencies
		° Document project lessons learned regarding issues, solutions, and recommendations for the management maturity
			° Evaluation of Project Artifacts (see above)
			° Readiness Review for Steady State Annual Review of Project's Steady State
			° Operational Analysis (OA) Results
			° Post Implementation Reports
			° EVMS
				Not Applicable

7
 	
Operational Review
	° Determine if support provided for an operational or steady state IT investment is sound and if significant changes in the system are needed	° Examine IT investment via formal operational analysis conducted annually showing how investment meets program objectives, mission goals, customer needs, and performance goals related to baseline costs
		° Highlight the functionality and identify any issues for the IT investment
		° Provide alternatives (i.e. DME, substitution of a new IT investment to replace current investment) for IT investment is not meeting performance goals
			° Updated
			  - Exhibit 300
			  - Project Management Plan
			  - Subsidiary Plans
			  - Operational Analysis (OA) Results
				° PM
				° Business Sponsor
				° Executive Sponsor
				° CIO
				° CIOC (*for Multiple Regions /Directorates*)

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Phase	Phase Goal	Key Activities	Key Artifacts	Required Approvals

8
 	
Termination/ Change
	° Determine when to make significant changes or modifications to terminate the system	° Examine rationale for termination or significant change in the investment's direction.
		° Review change request reports, performance reports and lessons learned
		° Determine if the plans for termination or significant change for the investment's future is well-supported and appropriate for the future mission and business of the organization
			° Updated
			  - Project Management Plan
			  - Subsidiary Plans
			° Change Request Report
			° Performance Reports
			° Lessons Learned
				° PM
				° Business Sponsor
				° Executive Sponsor
				° CIO
				° CIOC (*for Multiple Regions /Directorates*)

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Appendix C – Project/Investment Decision Gates

Decision Gate	Evaluation	Responsible Party(ies)	Decision/ Recommendation	Decision Document Required

0
 	
Feasibility
	• Examine the IT proposal
	• Assess project management artifacts associated with the investment
	• Review mission or business goals and objectives supported by the proposal
	  - Business process analysis results
	  - Proposal costs and benefits
	  - Technical issues and considerations associated with the proposal –
	  - Options or alternatives assessed
	  - Risks and constraints
	• Asses the sponsoring organization's resources (staff and funds)
	• Assess controls in place to manage the proposal as a project.
		Director (Executive Sponsor)	• Determine– based on the artifacts - the feasibility of the IT proposal
			• Serve as the champion for the investment
			• Recommend a decision in terms of readiness for the next phase – planning - to:
			  - move forward
			  - conditionally move forward
			  - suspend and/or reject the IT proposal
				Yes

		CIO	Review and approve or reject
			
			  - all IT project proposals
			  - the incorporation of the IT proposal into an existing IT investment at this decision point	

		CIOC	Make a recommendation to the CIO regarding the investment as part of the budget cycle or as needed, for IT investment proposals that: 1) support multiple regions and/or directorates or involve non-Reclamation organizations, and/or 2) require working capital funds or funds from two or more organizations (regions or directorates) to support any aspect of the investment during the project lifecycle	

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Decision Gate	Evaluation	Responsible Party(ies)	Decision/ Recommendation	Decision Document Required
		DOI Investment Review Board (IRB).	Review of proposals for Major IT Investments	

1
 	
Planning
	• Examine Initial/draft IT project plans
	• Assess artifacts associated with project management including:
	  - Analysis alternatives
	  - Draft project costs, schedule, and benefits
	  - Initial work breakdown structure
	  - Considerations associated with the plans for
	  - Scope management
	  - Risk management
	  - Staffing management
	  - Quality management
	  - Acquisition/procurement management
	• Assess sponsoring organization's ability to assure resources (staff, funds, and expertise) to effectively and efficiently manage the IT project.
		Director (Executive Sponsor)	• Recommend a decision in terms of readiness for the next phase – design - to:
			  - move forward
			  - conditionally move forward
			  - suspend and/or reject the IT proposal
			
			Based on the complexity of the IT project, the sponsoring organization is responsible for ensuring the completion of all required planning documents as specified in Reclamation's IT Project Handbook
				Yes

		CIO	Review and approve or reject all IT investment or projects	
		CIOC	Make a recommendation to the CIO regarding the investment as part of the budget cycle or as needed, for IT investment proposals that: 1) support multiple regions and/or directorates or involve non-Reclamation organizations, and/or 2) require working capital funds or funds from two or more organizations (regions or directorates) to support any aspect of the investment during the	

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Decision Gate	Evaluation	Responsible Party(ies)	Decision/ Recommendation	Decision Document Required
			project lifecycle	
		DOI IRB	Review of proposals for Major IT Investments	

2 - Design	• Evaluate the IT proposal
	• Assess the artifacts associated with the proposed Technical design of the system
	• Assess the maturity and relative risks associated with the design
	• Ensure that project tasks can be objectively measured as well as completed to the successful execution of the project - as designed
	• Identify any technical and design-related issues that may adversely impact the subsequent development, testing, implementation, operation,
	• Ensure issues that might impact completion of the system are addressed or mitigated
		Director (Executive Sponsor)	Recommend a decision in terms of readiness for the next phase – Integrated Baseline Review- to:
			
			  - move forward
			  - conditionally move forward
			  - suspend and/or reject the IT proposal
				Yes

		CIO	Review and approve or reject all IT investment or projects	
		CIOC	Make a recommendation to the CIO regarding the investment as part of the budget cycle or as needed, for IT investment proposals that: 1) support multiple regions and/or directorates or involve non-Reclamation organizations, and/or 2) require working capital funds or funds from two or more organizations (regions or directorates) to support any aspect of the investment during the project lifecycle	

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3 - Integrated Baseline Review	• Examine IBR results and recommendations to assure that: - IT project has been managed in accordance with project management guidelines, and based on available artifacts or project management documents, - Project can be executed as planned - Project cost, schedule, and performance metrics and baselines are reasonable - Controls used to manage and monitor project performance and risks at multiple level are adequate - project plans, project baselines (cost, schedule, and performance), and project controls, as documented in self-assessments are adequate	Sponsoring organization Executive Sponsor	• Determine– based on the artifacts - the feasibility of the IT proposal • Serve as the champion for the investment • Recommend a decision in terms of readiness for the next phase – Development - to: - move forward - conditionally move forward - suspend and/or reject the IT proposal	Yes
		PM	Complete a self-assessment of the status of project management plans and controls	
		CIO	Working with the PM, determine if an IBR is required for non-major investments and/or other IT projects. All IT major investments or projects in planning and design phases must complete an IBR, and this review must be completed by an independent review team Results from self-assessments and/or IBRs must be reviewed by and approved by the CIO, with input or a recommendation from the executive or director sponsoring the IT investment Make a decision in terms of readiness for the next phase – development - to: - move forward - conditionally move forward	

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			- suspend and/or reject the IT proposal May require additional action from the project team based on assessment or review results.	
		CIOC	May require additional action from the project team based on assessment or review results. Make a recommendation to the CIO regarding the investment as part of the budget cycle or as needed, for IT investment proposals that: 1) support multiple regions and/or directorates or involve non-Reclamation organizations, and/or 2) Require working capital funds or funds from two or more organizations (regions or directorates) to support any **aspect of the investment during the project lifecycle**	
		DOI IRB	IBR results for major investments must be reviewed May require that outstanding project risks be addressed before proceeding with the project	
4 - Development	• Examine deliverables including: - Test results associated with deliverables - Quality assurance reports related to deliverables,	Director (Executive Sponsor)	Recommend a decision in terms of readiness for the next phase – deployment - to: - move forward - conditionally move forward	

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	Change control reports - Technical reports used to monitor the status of the project *Note: Technical and quality assurance reports are often being provided on multiple components or deliverables and these reports are difficult to examine and understand. It is essential that user requirements be aligned with test plans and that test results demonstrate the effectiveness of deliverables or system components in meeting user requirements.*		- suspend and/or reject the IT proposal	
		CIO	review and approve or reject all IT investment or projects	
		CIOC	Make a recommendation to the CIO regarding the investment as part of the budget cycle or as needed, for IT investment proposals that: 1) support multiple regions and/or directorates or involve non-Reclamation organizations, and/or 2) require working capital funds or funds from two or more organizations (regions or directorates) to support any aspect of the investment during the project lifecycle	
5 - Deployment	• Ensure that the system is installed as planned and specified, users are trained, and end users and supporting organizations are prepared to accept the system • Assess lifecycle plan or operations and maintenance plan for the system and make any adjustments to the plan based on system deployment information gathered to date • Ensure the change control board and/or process established to support the design of the system is	Director (Executive Sponsor)	Recommend a decision in terms of readiness for the next phase – post implementation review - to: - move forward - conditionally move forward - suspend and/or reject the IT proposal	Yes

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	working as intended and make changes, as deemed appropriate.			
		CIO	Approve (reject) all IT investment or projects	
		CIOC	Make a recommendation to the CIO regarding the investment as part of the budget cycle or as needed, for IT investment proposals that: 1) support multiple regions and/or directorates or involve non-Reclamation organizations, and/or 2) require working capital funds or funds from two or more organizations (regions or directorates) to support any aspect of the investment during the project lifecycle	
6 - Post Implementation Review	Examine of the PIR report and lessons learned.	Director (Executive Sponsor)	Access PIR results **A recommendation or decision is not required**.	**No**
	Access the extent to which the IT project has been managed in accordance with project management guidelines, accomplished project objectives,	CIO	Address lessons learned **A recommendation or decision is not required**.	

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	satisfied user or business requirements, complied with technical and other standards, and supports organizational goals and priorities

Review information on any lessons learned and opportunities to improve the project through operations or while in steady state and project management practices. | CIOC | Working with the CIO Address weaknesses identified in the IT project or investment management areas **A recommendation or decision is not required**. | |
| 7 - Operational Readiness | assessing results from the operational analysis and | Director (Executive Sponsor), CIO CIOC, and/or DOI IRB | May recommend significant change in funding to:

- modernize the system
- develop a new system or component
- terminate system funding (decommission or shut-down the system)

This will prompt the IT investment to move to the next phase and decision gate - termination/change. | Yes |
| | | Director (Executive Sponsor) | Recommend

- continued funding,
- partial funding,
- new or increased funding, | |

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			- or suspension/termination of funding	
		CIO	Approve (reject) all IT investment or projects	
		CIOC	Make a recommendation to the CIO regarding the investment as part of the budget cycle or as needed, for IT investment proposals that: 1) support multiple regions and/or directorates or involve non-Reclamation organizations, and/or 2) require working capital funds or funds from two or more organizations (regions or directorates) to support any aspect of the investment during the project lifecycle	
8 - Termination/ Significant Change or Modernization	Examine key artifacts used to render decisions made to support a significant system change or modernization and termination of the system.	Director (Executive Sponsor)	Make a recommendation to make a significant change to the system and/or terminate/decommission the system. If a decision is made to recommend a significant change to the functionality of the system or to upgrade technology but not to terminate system, the recommendation will require a recommendation regarding the next phase,	

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			project - feasibility	
		CIO	Approve (reject) all IT investment or projects	
		CIOC	Make a recommendation to the CIO regarding the investment as part of the budget cycle or as needed, for IT investment proposals that: 3) support multiple regions and/or directorates or involve non-Reclamation organizations, and/or require working capital funds or funds from two or more organizations (regions or directorates) to support any aspect of the investment during the project lifecycle	
		DOI IRB	If a decision is made to recommend a significant change to the functionality of the system or to upgrade technology but not to terminate system, the recommendation will require a recommendation regarding the next phase, project - feasibility	